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FILED UNITED STATES DISTRICT COURT
WESTERN DISTRICT OF WASHINGTON
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OF WAS

John A. Olagues Ray Wollney

C16 5924

**Plaintiffs** 

Under Section 16 b of the Securities and Exchange

Private Right of Action

VS.

Act of 1934 CIVIL ACTION

Michael L. Elich James D. Miller **Gregory Vaughn** Barrett Business Services, Inc.

**Defendants** 

## Parties to this Complaint:

Plaintiff's Name, Address and Phone Number

John A. Olagues 413 Sauve Road River Ridge, Louisiana 70123 504-305-4071

Ray Wollney 8331 Whiskey Preserve Circle #421 Ft. Myers, Fl. 33919 239-690-7754

1

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1	
2	Defendant's Name, Address and Phone Number
3	Michael L. Elich
4	Barrett Business Services, Inc 8100 NE Parkway Drive
5	Suite 200
6	Vancouver, WA. 98662
7	James D. Miller
8	Barrett Business Services, inc.
	8100 NE Parkway Drive
9	Suite 200 Vancouver, WA. 98662
10	800-494-5669
11	
12	Gregory Vaughn Barrett Business Services, inc.
13	8100 NE Parkway Drive
	Suite 200
14	Vancouver, WA. 98662
15	800-494-5669
16	Barrett Business Services, Inc.
17	8100 NE Parkway Drive
18	Suite 200 Vancouver, WA. 98662
19	800-494-5669
20	
21	Jurisdiction
	vuriov:cuvr.
22	Jurisdiction of this Court is proper pursuant to Section 27 of the Exchange Act [15
23	U.S.C. §78aa].
24	Venue is properly laid in this District because Defendants Michael L Elich, James D.
25	Miller and Gregory Vaughn and Barrett Business Services, Inc. are located in this District.
26	<del></del> .

#### Statement of Claim

 Plaintiffs, allege, based upon knowledge with respect to the facts relating to them upon information and belief with respect to all other allegations, as follows.

### INTRODUCTION

- 2. This action is brought pursuant to Section 16(b) of the Securities Exchange Act of 1934, as amended (the "Exchange Act"), [15 U.S.C. 78p(b)] ("Section 16(b)") in order to recover short-swing insider trading profits realized by defendants Mr. Michael L Elich, Mr. James D. Miller and Mr. Gregory Vaughn while they were statutory insiders and officers of Barrett Business Services Inc.
- 3. Michael L. Elich, James D. Miller and Gregory Vaughn at all relevant times were officers and insiders of Barrett Business Services Inc. within the meaning of Section 16(b).
- 4. Section 16(b) requires company insiders to disgorge any profits earned by Section 16 (b) insiders through short-swing insider trading (i.e., purchases and sales, or sales and purchases, of the company's securities, within less than a six month period). Actual misuse of inside information is not an element of the claim although the statute embodies a presumption that statutory insiders have access to such inside information.
- 5. The SEC is not allowed to pass rules that exempt transactions that are comprehended to be within the purpose of Section 16 b of the 1934 Securities Act as stated in the last sentence of 16(b) shown below:

"This subsection shall not be construed to cover any transaction where such beneficial owner was not such both at the time of the purchase and sale, or the sale and purchase, of the security or security-based swap agreement or a security-based swap involved, or any transaction or transactions which the Commission by rules and regulations may exempt as not comprehended within the purpose of this subsection."

- 6. Barrett Business Services Inc, Common Stock is registered with the SEC pursuant to Section 12 of the Exchange Act and the Common Stock trades on the NASDAQ under the symbol BBSI.
- 7. Barrett Business Services Inc. is a necessary party as this action is brought by Plaintiffs in order to obtain a recovery for the firm, Barrett Business Services Inc.

## **SUBSTANTIVE ALLEGATIONS**

8. The relevant transactions shown on Form 4s filed with the SEC by Defendants Michael L Elich, James D. Miller and Gregory Vaughn are listed below: The Documents from SEC Form 4.com attached as Exhibit A show all of the relevant filings by Defendants Michael L Elich, James D. Miller and Gregory Vaughn, who were officers or directors when the non-exempt purchases and dispositions illustrated below were made.

#### **Michael Elich**

Shares Purchased	Date	Price	Shares Disposed	Date	Price	Profit
1574	11/04/14	\$24.07	1574	7/11/2014	\$55.02	\$48,715
2098	11/04/14	\$24.07	2098	7/01/2014	\$48.93	\$52,156
Total profi	its	.\$100,871				

#### James Miller

Shares Purchased	Date	Price	Shares Disposed	Date	Price	Profit
1049	11/04/2014	\$23.26	1049	7/11/2014	\$55.02	\$33,316
1049	11/04/2014	\$23.26	1049	7/1/2014	\$48.93	\$26,928

Total profits......\$60,244

## **Gregory Vaughn**

Shares Purchased	Date	Price	Shares Disposed	Date	Price	Profit
1049	11/04/2014	\$23.26	1049	7/11/2014	\$55.02	\$33,316
104 <del>9</del>	11/04/2014	\$23.26	1049	7/1/2014	\$48.93	\$26,928

Total Profits ......\$60,244

All profits combined \$221,359

- 9. None of the dispositions to the issuer were "automatic" dispositions as required to achieve an exemption under 16 b-3(e). All were discretionary by the insider. The discretionary dispositions of shares to the issuer when the issuer has no discretion are "comprehended within the purpose of subsection 16 (b)" of the 1934 Securities Act and can not be exempted by the SEC.
- 10. All of the Shares Purchased above were market transactions non-exempt from section 16 b. This is conceded by attorneys for Barrett Business Services Inc.

#### BASIS FOR INFORMATION AND BELIEF

11. Plaintiffs' information and belief is based on, among other things, the SEC Form 4s referenced herein and the violations of the Securities law as described above. Also the SEC Staff opinion expressed in the Q and A, No.123.16 of May 23, 2007 supports Plaintiffs' view that dispositions must be automatic with no discretion to the issuer in order for executives to get exemptions via 16 b-3(e). See **Exhibit B** 

#### ALLEGATIONS AS TO DEMAND

- 12. Plaintiffs notified Barrett Business Services Inc. of the facts alleged above (the "Demand"). Attorneys for Barrett Business Services Inc. refused to request disgorgement of the profits from Mr. Michael L. Elich, James D. Miller and Gregory Vaughn and refused to file suit to recover such profits totaling \$221 359, for Barrett Business Services Inc.
- 13. The attorneys for Barrett Business Services in a letter to Plaintiff, alleged that the dispositions from Mr. Michael L Elich, James D. Miller and Gregory Vaughn to Barrett Business Services Inc were exempt from Section 16 b of the 1934 Act via SEC Rule 16 b-3(e) and thus the attorneys alleged that the dispositions on 7/11/2014 and 7/1/2014 could not be matched with any of the purchases of shares on 11/4/2014.

### **Prayer For Relief**

- 14. WHEREFORE, Plaintiff prays for judgment against Defendants Mr. Michael L. Elich, James D. Miller and Gregory Vaughn in an amount to be determined at trial, plus prejudgment interest, post-judgment interest and such other and further relief as this Court may deem just and proper.
- 15. The amount to be at a minimum of \$ 221,359 which is the total profit received from matched non exempt purchases and non exempt dispositions.

## **Jury Trial Demanded**

DATED this 31 th day of October, 2016.

Respectfully Submitted:

John Olagues
413 Sauve Rd.

River Ridge, La. 70123

olagues@gmail.com

504-305-4071

Ray Wollney
8331 Whiskey Preserve Circle #421
Ft. Myers, Fl. 33919
rwollney1@comcast.net
239-690-7754

# Exhibit A

# SEC Form 4.com

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Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. \* If the form is filed by more than one reporting person, see Instruction 4(b)(v).

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Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

\* If the form is filed by more than one reporting person, see Instruction 4(b)(v).

- \*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations, See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

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# Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. \* If the form is filed by more than one reporting person, see Instruction 4(b)(v).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

<sup>\*\*</sup> Intentional misstatements or omissions of facts constitute Federal Criminal Violations, See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

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	Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).  Name and Address of Reporting Person =   Washington, D.C. 20549  STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP  Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility  Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940  S. Relationship of Reporting Person(s) to Issuer  (Check all applicable)  Director 10% Owner																	
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(3) The Restricted Stock Units vest in four equal annual installments beginning on July 1, 2014, and will be settled by delivery of unrestricted shares of common stock on the vesting of

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

- \* If the form is filed by more than one reporting person, see Instruction 4(b)(v).
- \*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

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	Enter Stock Ticker Symbol or Cik:  Search By Company or Insider Name:  The following is an SEC EDGAR document rendered as filed. Here is the list of insider trading transaction codes.  ORM 4  UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 Check this box if no longer States to Section 16, Form 4  Search!  Cik Lookup  Search!  Coogle  OMB APPROVAL  OMB Number: S235-0267  Expires: November 30, 2011 Estimated average burden hours per																
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Check this bo subject to Se or Form 5 ob continue. See	The following is an SEC EDGAR document rendered as filed.  Here is the list of insider trading transaction codes.  ORM 4  UNITED STATES SECURITIES AND EXCHANGE COMMISSION  Washington, D.C. 20549  STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP or Form 5 obligations may continue. See Instruction 1(b).  Name and Address of Reporting Person:  AUGHN GREGORY R  UNITED STATES SECURITIES AND EXCHANGE COMMISSION  Washington, D.C. 20549  STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940  1(b).  Name and Address of Reporting Person:  AUGHN GREGORY R  OMB APPROVAL  OMB Number: 3235-0287  Expires: November 30, 2011  Estimated average burden hours per response  0.5  Relationship of Reporting Person(s) to Issuer (Check all applicable) Director  10% Owner  (Last) (First) (Middle)  3. Date of Earliest Transaction (MM/DD/YY)  X Officer (give title  Other (specify below)																
1. Name and Addr	There is the list of insider trading transaction codes.  ORM 4  Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).  Name and Address of Reporting Person 4  AUGHN GREGORY R  OMB APPROVAL  OMB Number: 3235-0287  Expires: November 30, 2011  Expires																
	Check this box if no longer subject to Section 16, Form 4 or Form 5 obligations may continue. See Instruction 1(b).  Name and Address of Reporting Person:  UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549  STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940  1(b).  Name and Address of Reporting Person:  2. Issuer Name and Ticker or Trading Symbol BARRETT BUSINESS SERVICES INC [ BBS1]  Director  10% Owner																
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# Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. \* If the form is filed by more than one reporting person, see Instruction 4(b)(v).

- \*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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subject to Se or Form 5 of	1 4 ex if no lang ection 16. Fo bligations ma ee Instruction	er rm 4 ly	Sī	FATEME!	NT O	F Ch	Wast IANG e Securit	ington, ES I ties Exc	D.C. 205 N BEN hange Ad	EXCHANG 49 IEFICIAL of 1934, Sect Investment C	L OWNE	RSHIP	Expires Estima	umber: s: ted aven	<del></del>	PROVAL Novem den hours p	3235-0287 ber 30, 2011 er 0.5
1. Name and Address of Reporting Person = VAUGHN GREGORY R						Issuer	Name au BUSINES	ed Ticke	er or Tradi	ng Symbol : 1 88511			ship of Repor applicable)	rting Pen	son(s) t	o Issuer	
VAUGHN GREGORY R  (Last) (First) (Middle)  B100 NE PARKWAY DRIVE, SUITE 200					3.	BARRETT BUSINESS SERVICES INC [ BBSI]  3. Date of Earliest Transaction (MM/DD/YY) 07/01/2014						(Check all applicable)  Director 10% Owner  X Officer (give title Other (specify below) below)					
VANCOUVER, WA		treet)		····	4.	If Ame	endment,	Date C	riginal Fil	ed(MM/DD/YY	)	VP and COO-Corp. Operations  5. Individual or Joint/Group Filing(Check Applicable Line)  X Form filed by One Reporting Person					
(City)		tate)		(Zip)								Fort	n filed by Mo	re than (	One Rep	orting Perso	on.
1. Title of Security (Instr. 3)																	
	у				Date	saction e /DD/YY	Execut Date,	ifany	3. Transacti Code (Instr. 8)	on Disposed (Instr. 3,	4 and 5)	(A) or	5. Amount of Securities Beneficially Following Re Transaction(s	Owned ported	6. Own Form: I (D) or (I) (Instr. 4	Direct Ir Indirect B	Nature of idirect eneficial wnership instr. 4)
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Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. \* If the form is filed by more than one reporting person, see Instruction 4(b)(v).

- \*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

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# Exhibit B

# SEC Staff Q and A May 23, 2007

Question 123.16

Question: Would approval of a grant that by its terms provides for automatic reloads satisfy the specificity of approval requirements under Rule 16b-3(d) for the reload grants?

Answer: Yes. Approval of a grant that by its terms provides for automatic reloads would satisfy the specificity of approval requirements under Rule 16b-3(d) for the reload grants, unless the automatic reload feature permitted the reload grants to be withheld by the issuer on a discretionary basis.

The same result applies under Rule 16b-3(e) where the automatic feature is a tax- or exercise-withholding right. [May 23, 2007]